



**U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES**

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# **Senior Executive Service and Organizational Performance Management System**

**August 2006**

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# HHS Senior Executive Service and Organizational Performance Management System

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# 1. INTRODUCTION

## 1.1 PURPOSE

The U.S. Department of Health and Human Services (HHS) has developed the Senior Executive Service (SES) and Organizational Performance Management System to produce accountability for business results for every one of HHS's senior executives. True excellence is rewarded, mediocre performance carries real consequences, and poor performers are removed from the SES. Ultimately, the System places the greatest emphasis where it belongs: on achieving results that benefit the American people. Evidence of measurable, citizen-centered outcomes takes precedence over bureaucratic process and "time served."

The System fulfills several of the President's Management Agenda Standards for Success for the Strategic Management of Human Capital initiative. The SES Performance Management process is fully aligned with HHS's overall Strategic Plan, and is integrated with the HHS Strategic Human Capital Management Plan (SHCMP). In its details, the System implements performance and awards systems for all SES members that effectively link to agency mission, hold executives accountable for business results, differentiate between various levels of performance, and provide consequences based on performance.

The SES and Organizational Performance Management System is one component of HHS's overarching SHCMP. The System is designed to help HHS achieve the key SHCMP goal of implementing a performance management system that connects expectations to mission and links performance ratings with measurable outcomes. Combined with the "cascading" of SES performance plans to all non-SES HHS employees, this system helps ensure that performance expectations throughout the entire agency are aligned with the HHS mission and oriented toward achieving results.

## 1.2 AUTHORITY AND COVERAGE

**Authority:** Title 5 United States Code, Section 4312, requires that each agency establish one or more performance appraisal systems that hold senior executives accountable for their individual and organizational performance in order to improve the overall performance of Government. It is the policy of HHS to provide SES members with a performance appraisal system that meets all requirements in law and regulation. This document constitutes HHS policies for planning, monitoring, appraising, and recognizing the performance of members of the SES. References for these policies include 5 U.S.C. 4311-4314 (SES Performance Appraisals); 5 U.S.C. 5382 (SES Pay); 5 C.F.R. Part 430, Subpart C and D (Managing SES Performance); 5 C.F.R. Part 359 (Removal from SES); 5 C.F.R. Part 451 (Awards); and 5 C.F.R. Part 534, Subpart D (Pay and Performance Awards under SES).

**Coverage:** These guidelines apply to all HHS SES members: career, limited term, limited emergency, non-career appointees, and Presidential appointees who (without a break in

service) have elected to retain SES benefits. Only career SES members and Presidential appointees who (without a break in service) have elected to retain SES benefits are eligible for bonuses under this system.

Operating Division (OPDIV) and Staff Division (STAFFDIV) Heads who are not SES members are not by regulation required to be covered by this performance system. The Secretary has determined that OPDIV and STAFFDIV Heads who are not SES members will establish performance plans in accordance with the SES performance system for the purpose of guiding the cascading of performance requirements throughout their organizations. The Secretary and the Secretary's Council on Performance Evaluation will assess OPDIV and STAFFDIV Head performance using the same criteria as described in the SES performance system. However, an annual summary rating is not required.

Nothing in this Plan shall be construed in a manner that is inconsistent with the Inspector General Act of 1978, 5 U.S.C. App. (as amended). For the purpose of this document, the Office of Inspector General (OIG) shall be considered a STAFFDIV and the Inspector General shall be considered the STAFFDIV Head. The OIG will follow Departmental policy and guidance in determining ratings and recognition. However, to maintain statutory independence, the Inspector General oversees and administers the HHS SES and Organizational Performance Management system for the OIG, using its own Performance Review Board and approval process.

The Inspector General is not covered by the SES performance system. However, the Secretary and the Inspector General have agreed that the Inspector General will establish performance goals for the OIG in accordance with the SES performance system. OIG performance goals will guide the cascading of performance requirements to OIG's SES members.

### **1.3 RESPONSIBLE PARTIES**

**Secretary:** Ensures oversight of the SES and Organizational Performance Management System. Serves as the final authority on annual summary ratings and recognition (this responsibility may be delegated). Sets overall priorities for the Department, which are the basis for the performance requirements that cascade from OPDIV and STAFFDIV Heads to all SES members.

**Deputy Secretary:** As lead management official, provides oversight of the SES and Organizational Performance Management System. Responsible for the effective and equitable operation of the System. Serves on the Secretary's Council on Performance Evaluation.

**Secretary's Council on Performance Evaluation (SCOPE):** Provides oversight and accountability for the SES and Organizational Performance Management System at the Departmental level. Evaluates the performance of OPDIVs and STAFFDIVs through a formal organizational assessment. Ensures that the aggregate results of the appraisal

process throughout the Department are consistent with HHS SES and Organizational Performance Management System policies. Assures that the distribution of pay adjustments, performance bonuses, and levels of pay are based on the results of the appraisal process and accurately reflect organizational performance. (Note: the SCOPE replaces the Departmental Performance Review Panel.)

**Assistant Secretary for Administration and Management:** By delegation from the Secretary, exercises human resources authorities for all personnel administration, personnel management, and labor management relations activities. Serves as the Administrative Chair for the Secretary's Council on Performance Evaluation. Serves as the Chair for the Office of the Secretary's Performance Review Board (this responsibility may be delegated).

**OPDIV and STAFFDIV Heads:** Cascade mission-related performance requirements for SES members, based on Departmental objectives. Select OPDIV Performance Review Board members. Recommend annual summary ratings and pay adjustments and performance awards for SES members to the SCOPE.

**Performance Review Board (PRB):** Reviews and evaluates the initial summary rating, the senior executive's response, and the higher level reviewing official's comments (if applicable) on the initial summary rating. Makes a written recommendation to the OPDIV and STAFFDIV Head for each senior executive's annual summary rating and any performance recognition. Assures that pay adjustments, performance bonuses, and levels of pay based on the results of the appraisal process accurately reflect and recognize individual performance and contribution to the agency's performance.

**Higher-Level Reviewer:** At an SES member's request, reviews the initial summary rating assigned by the rating official and makes a written recommendation to the PRB.

**Rating Official:** Works cooperatively with subordinate SES members to develop individual performance plans. Establishes performance requirements based on Departmental objectives and informs the employee of the critical elements. Conducts progress reviews. Provides performance improvement assistance to subordinates. Appraises performance and prepares initial summary ratings, including appropriate narrative justification.

**Senior Executive Service Member:** Develops performance plan in cooperation with Rating Official. Works to achieve established performance requirements. Participates in progress reviews. Keeps Rating Official informed of progress toward assigned performance requirements. Prepares self-assessment of performance.

**Deputy Assistant Secretary for Human Resources:** Develops policy and guidance on SES performance management, including performance plan development, appraisal procedures, and performance recognition. Provides support to the Human Resources Centers relative to the SES and Organizational Performance Management System. Records final individual performance rating and recognition decisions and forwards documents to

the servicing personnel offices. Provides required performance rating and recognition documentation to the Office of Personnel Management. Manages the SES and Organizational Performance Management System certification process.

**Human Resources Centers:** Coordinate and/or support activities of the Performance Review Board. Ensure technical adequacy of performance appraisal and performance recognition documentation. Submit performance appraisal and recognition documentation to the Department's Office of Human Resources. Process, distribute, and maintain copies of all required records for annual summary ratings.

**Inspector General:** Oversees the SES performance management program as it pertains to OIG executives and serves as the final authority for OIG SES ratings and recognition. Coordinates the OIG organizational assessment process and issues performance guidelines based on that assessment. Certifies that the results of the appraisal process make meaningful distinctions based on relative performance. Assures that pay adjustments, cash awards, and levels of pay based on the results of the appraisal process accurately reflect and recognize individual performance and contribution to the agency's performance.

#### **1.4 SES AND ORGANIZATIONAL PERFORMANCE MANAGEMENT SYSTEM OVERVIEW**

The HHS SES and Organizational Performance Management System:

Requires individual performance plans that:

- a. Are developed collaboratively between the rating official and the SES member;
- b. Align performance requirements with Departmental objectives;
- c. Include demonstrable, measurable, results-oriented performance requirements;
- d. Hold executives accountable for the rigorous appraisal of subordinates;
- e. Contain balanced measures that include employee and customer perspectives and feedback; and
- f. At a minimum, define each individual critical element at the Fully Successful level.

Establishes assessment processes that:

- a. Focus on results-oriented measures;
- b. Incorporate organizational performance results into decisions about individual performance ratings and recognition;
- c. Use performance data to adjust pay, reward, reassign, develop and remove senior executives or make other performance decisions;
- d. Make meaningful distinctions in individual performance by setting distinct, specific percentages for each rating level for pay adjustments;
- e. Include strong oversight to ensure that results are fair and credible; and
- f. Require annual performance appraisals and progress reviews.

## 2. ORGANIZATIONAL ASSESSMENT

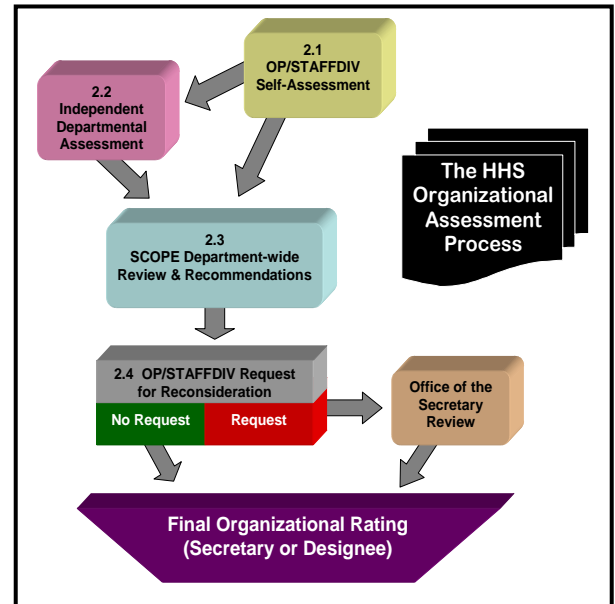
The purpose of the organizational assessment is twofold:

- a. Ensures accountability at the organizational level for the achievement of Departmental objectives; and
- b. Provides a basis for ensuring that individual SES performance ratings reflect organizational performance. (A full description of the individual SES performance assessment process is included in [section 3.3.](#))

The organizational assessment process consists of four basic elements, described in the sections that follow:

- 2.1 OPDIV and STAFFDIV organizational self-assessment input
- 2.2 Independent Departmental organizational assessment input
- 2.3 SCOPE review and recommended organizational rating for each critical element and overall
- 2.4 Reconsideration process and final determination

Please see [Attachment A \(p. 24\)](#) for a general timeline of events in the organizational assessment process.



### 2.1 OPDIV AND STAFFDIV ORGANIZATIONAL SELF-ASSESSMENT INPUT

Each OPDIV and STAFFDIV Head, their equivalent, or their designee will submit a self-assessment of their organization's performance to the Deputy Assistant Secretary for Human Resources at the end of the annual performance period. The purpose of the organizational self-assessment is to describe business results achieved during the performance period relative to the requirements of each OPDIV and STAFFDIV Head's performance plan. OPDIVs and STAFFDIVs will not assign organizational ratings (e.g., "Exceptional," "Fully Successful," etc.) to themselves. Performance on measures related to the Government Performance and Results Act and the Performance and Accountability Report should be included in the self-assessment when relevant.

[Attachment C \(p. 26\)](#) provides a template that OPDIVs and STAFFDIVs will use to prepare their self-assessment submissions. In conducting the organizational self-assessment, OPDIVs and STAFFDIVs will insert information into the section of the form titled "End of Year Results." Organizational self-assessment submissions will include specific examples of business results that demonstrate how the organization performed on each of its critical elements. OPDIVs and STAFFDIVs should pay particular attention to

describing measurable achievements in program performance, including improvements in customer and employee satisfaction and demonstrated flexibility and adaptability in dealing with and responding productively to changing priorities, unanticipated resource shortages and externally driven deadlines.

The OPDIV or STAFFDIV organizational self-assessment will be one source of information used by the SCOPE in its deliberation process. The second key source of information for the SCOPE is the independent Departmental organizational assessment, described below.

## **2.2 INDEPENDENT DEPARTMENTAL ORGANIZATIONAL ASSESSMENT INPUT**

In addition to the organizational self-assessment prepared by each OPDIV and STAFFDIV, an independent organizational assessment of each OPDIV and STAFFDIV will be conducted at the Departmental level. The purpose of the independent Departmental organizational assessment is to provide the SCOPE with a second source of information on which to base its ratings determinations. Like the OPDIV and STAFFDIV self-assessment, the independent Departmental organizational assessment will be results-based.

Participants in the independent Departmental organizational assessment will be senior-level staff within the Office of the Secretary with specific knowledge of the issues involved. The Assistant Secretaries for Administration and Management, Resources and Technology, and Planning and Evaluation will select the appropriate staff to conduct the assessment.

The Deputy Assistant Secretary for Human Resources will forward the annual assessment forms, containing OPDIV and STAFFDIV self-assessments, to the appropriate individuals or organizational units within the Department for their input. The independent Departmental organizational assessment, focusing on specific business results achieved, will be added to the “End-of-Year Results” section of the organizational assessment form. Once the Departmental input has been incorporated, updated forms will be returned to the Deputy Assistant Secretary for Human Resources for collation and forwarding to the SCOPE. OPDIVs and STAFFDIVs will not have an opportunity to review or appeal information provided in the independent Departmental organizational assessment. (Reconsideration may be requested only after the SCOPE has completed deliberations – see [section 2.4](#) for details.)

## **2.3 SCOPE REVIEW AND DETERMINATION**

The SCOPE will assess and rate the performance of each OPDIV and STAFFDIV on an annual basis. Organizational assessments will evaluate specific results achieved, based on the requirements contained in each OPDIV or STAFFDIV Head’s performance plan. The Deputy Assistant Secretary for Human Resources will forward OPDIV and STAFFDIV assessment forms, including self-assessment information and Departmental input, to the



SCOPE Administrative Chair (the Assistant Secretary for Administration and Management). Copies will be distributed to all SCOPE members for review. Each member of the SCOPE will review the information submitted for each OPDIV and STAFFDIV, and the full SCOPE will convene to produce consensus recommended organizational assessment ratings for each OPDIV and STAFFDIV. When necessary to gain a fuller understanding of the issues involved, the SCOPE may also request input from other sources within the Department before recommending organizational assessment ratings.

***Members of the Secretary's Council on  
Performance Evaluation***

Deputy Secretary  
Chief of Staff  
Deputy Chief of Staff  
Principal Associate Deputy Secretary  
Asst. Sec. for Administration and Management\*  
Asst. Sec. for Resources and Technology  
Secretary's Counselors

*\*Administrative Chair*

The SCOPE will rate each OPDIV and STAFFDIV as Exceptional, Fully Successful, Minimally Satisfactory, or Unsatisfactory for the performance period. OPDIVs and STAFFDIVs will be rated on each performance requirement and critical element, and will also receive an overall organizational rating. The rating criteria for each critical element are as follows:

**Exceptional:** The organization exceeded performance expectations. Measurable improvements in program performance exceeded defined goals, as described in the OPDIV or STAFFDIV Head plans and as measured by appropriate assessment tools. Staff productivity and customer and employee satisfaction improved beyond expectations, and the organization demonstrated flexibility and adaptability in dealing with and responding productively to changing priorities, unanticipated resource shortages and externally driven deadlines. Executives consistently demonstrated the highest level of integrity and accountability in achieving Departmental objectives. Beneficial organizational change occurred as a result of exceptional management practices, operating procedures or program implementation, and had impact beyond the immediate organization.

**Fully Successful:** The organization met performance expectations. All program objectives were met, as described in annual performance plans and as measured by appropriate assessment tools. Employee satisfaction indicates a positive organizational climate, customers are satisfied with program results, and operational challenges were successfully resolved without Departmental or outside intervention. SES members consistently demonstrated high levels of integrity and accountability in achieving Departmental objectives. The organization used available performance information to identify opportunities to improve business results and include employee and customer perspectives.

**Minimally Satisfactory:** The organization had difficulties in meeting expectations described in the OPDIV or STAFFDIV Head annual performance plan, as

measured by appropriate assessment tools. Actions taken by the executive leadership were sometimes inappropriate or marginally effective and did not significantly contribute to positive results achieved. Improvement in the areas of program performance, employee productivity, morale, organizational effectiveness and/or customer satisfaction is needed.

*Unsatisfactory:* The organization failed to meet expectations, as measured by appropriate assessment tools. Repeated observations of organizational performance indicated negative consequences in key outcomes (e.g., quality, timeliness, business results, customer satisfaction, morale, etc.).

After determining individual ratings for each critical element, the SCOPE will rate each OPDIV and STAFFDIV overall. The overall organizational assessment rating will be based on a comprehensive assessment of the OPDIV or STAFFDIV's performance on the individual critical elements. In determining overall ratings, the SCOPE will ensure that organizational assessments reflect meaningful distinctions among higher- and lower-performing organizations.

At the conclusion of its deliberations, the SCOPE will complete each OPDIV and STAFFDIV assessment form ([Attachment C, p. 26](#)) to include the recommended rating for each critical element, any justification and/or comments, and the recommended overall organizational rating. The SCOPE Administrative Chair will complete and sign the Organizational Assessment Ratings Summary Form ([Attachment D, p. 50](#)), noting the "SCOPE Panel Recommendation" for each OPDIV and STAFFDIV, and will forward both the summary form and the backup documentation to the Deputy Assistant Secretary for Human Resources for electronic transmittal to OPDIV and STAFFDIV Heads.

## **2.4 RECONSIDERATION PROCESS AND FINAL DETERMINATIONS**

An OPDIV or STAFFDIV Head may request reconsideration of the SCOPE organizational assessment within one week of its issuance. Requests for reconsideration must be made in writing to the Deputy Assistant Secretary for Human Resources, who will collate the requests and forward them to the SCOPE Administrative Chair for further consideration by the Office of the Secretary. Requests should focus on issues that the OPDIV or STAFFDIV believes the SCOPE did not consider accurately, and should respond to specific points raised in the SCOPE's recommendation. Reconsiderations may not be used as an opportunity to raise new issues, and should focus exclusively on business results achieved during the performance period.

The Office of the Secretary will review any requests for reconsideration and note any recommended changes on the Organizational Assessment Ratings Summary Form ([Attachment D, p. 50](#)). There is no further appeals process. For OPDIVs or STAFFDIVs that choose not to request reconsideration of the SCOPE's assessment within one week of its issuance, the SCOPE recommendation will become the final organizational rating.

After all reconsiderations have been resolved, the Deputy Assistant Secretary for Human Resources will forward the documentation to the Secretary or designee for review, notation of the final organizational rating for each OPDIV and STAFFDIV, and signature. The completed documentation will be returned to the Office of Human Resources for appropriate dissemination and storage.

### **3. INDIVIDUAL PERFORMANCE APPRAISALS**

#### **3.1 HHS SES MEMBER PERFORMANCE PLAN**

In consultation with his/her supervisor, each SES member develops an annual performance plan that contains critical elements and performance requirements derived from the Department's strategic goals. The plan links measurable outcomes to the organization's goals and objectives and focuses primarily on achieving results: well over half of the critical elements in the plan must set measurable targets for accomplishing specific business outcomes.

All SES member individual performance plans must have the following characteristics:

- a. Aligned to show clear links between organizational strategic goals and individual performance requirements;
- b. Focused predominantly on business results, containing clear outcomes and specific, measurable indicators that will be used to assess performance;
- c. Balanced to include both employee and customer perspectives; and
- d. Explicit in holding SES members accountable for rigorous, timely appraisal of their subordinates.

Before an SES position may be created, the appointing authority must develop a proposed SES performance plan for the position that outlines goals, objectives, and measurable result targets. Written SES performance plans will normally be finalized within 30 days of the beginning of the appraisal period or within 30 days of an appointment, reassignment, transfer or other action that requires development of a new plan. Supervisors may modify SES performance plans whenever a change in assigned individual and/or organizational responsibilities and goals is so significant that the established performance objectives are no longer adequate. The supervisor must document modifications on the performance plan and communicate them to the SES member.

#### **3.2 INDIVIDUAL APPRAISAL PERFORMANCE RATINGS**

##### ***3.2.1 Individual Critical Element Rating Criteria***

During the annual individual appraisal process (described in sections 3.3.1 to 3.3.9 below), a written summary rating of each SES member's performance is determined. The summary rating is based on a comparison of the SES member's actual performance with the critical elements contained in his/her individual performance plan.

The HHS SES and Organizational Performance Management System includes four levels for rating performance on critical elements:

*Exceptional:* The SES member performed as a model of excellence. Indicators of performance at this level include measurable improvements in program

performance that exceed defined goals, as described in the performance plan and as measured by appropriate assessment tools. The SES member exceeded expectations in increasing staff productivity, improving employee and customer satisfaction, and demonstrating flexibility and adaptability in dealing with and responding productively to changing priorities, unanticipated resource shortages and externally driven deadlines. Appraisals of subordinates exceeded Departmental norms for rigor, including exceptional timeliness, detailed linkages between performance requirements and organizational goals, and proactive and frequent use of training and development. The SES member consistently demonstrated the highest level of integrity and accountability in achieving HHS program and management goals, with contributions that had impact beyond his/her immediate purview. The SES member exerted a major positive influence on management practices, operating procedures, or program implementation, which contributed substantially to organizational change, growth, and recognition.

*Fully Successful:* All program objectives were met, as described in the annual performance plan and measured by appropriate assessment tools. Employee satisfaction indicates a positive organizational climate, customers are satisfied with program results, and the SES member successfully resolved operational challenges without higher level intervention. Appraisals of subordinates met Departmental norms for rigor, including timeliness, alignment between performance requirements and organizational goals, and the use of training and development. The SES member consistently demonstrated integrity and accountability in achieving HHS program and management goals, and took follow-up actions based on performance information available to him/her. Opportunities were seized to improve business results and include employee and customer perspectives.

*Minimally Satisfactory:* The executive had difficulties in meeting expectations. Actions taken by the executive were sometimes inappropriate or marginally effective and did not significantly contribute to any positive results achieved. While working relationships may be generally sound, the executive's impact on program performance, employee productivity, morale, organizational effectiveness and customer satisfaction needs improvement, as described in the annual performance plan and as measured by appropriate assessment tools. Appraisals of subordinates were late, lacked rigor, failed to show linkages between performance requirements and organizational goals, and/or made little use of training and development. Immediate improvement is essential.

*Unsatisfactory:* The executive failed to meet expectations. Repeated observations of performance indicated negative consequences in key outcomes (e.g., quality, timeliness, business results, customer satisfaction, morale, etc.), as described in the annual performance plan and as measured by appropriate assessment tools. Performance is grounds for reassigning or removing the executive from the SES.

### **3.2.2 Summary Rating Criteria**

Once ratings have been determined for each of the critical elements in the Performance Plan, an overall summary rating will be assigned for the SES member. To ensure that only those SES members whose performance exceeds normal expectations are rated at levels above Fully Successful, overall annual summary ratings must adhere to the following criteria:

*Exceptional:* All critical elements are rated Exceptional.

*Fully Successful:* All critical elements are rated at least Fully Successful, and criteria for Exceptional are not met.

*Minimally Satisfactory:* One or more critical elements is rated Minimally Satisfactory.

*Unsatisfactory:* One or more critical elements is rated Unsatisfactory.

Overall summary ratings must take into account the results of the organizational assessment of the OPDIV or STAFFDIV for which the SES member works (see [section 2](#) for a description of the HHS organizational assessment process). Although there may be exceptions in individual cases, SES appraisals within each OPDIV or STAFFDIV must be broadly consistent with the formal organizational assessment of that OPDIV or STAFFDIV's performance. Although HHS officials may not prescribe a distribution of rating levels for employees, the Department may review standards and ratings for strictness of application to ensure that ratings and recognition are in compliance with Departmental policy. In addition, the Department may establish limits on and criteria for performance recognition, including the value of awards and amounts of pay increases.

### **3.3 INDIVIDUAL APPRAISAL PROCESS**

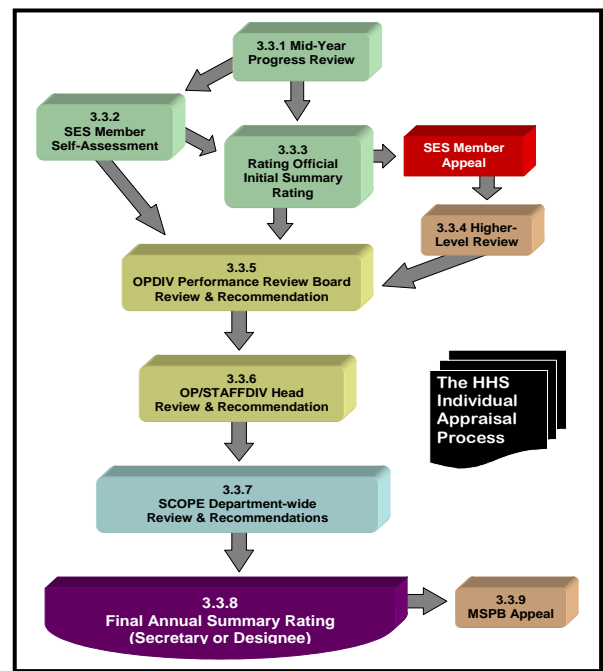
The SES performance appraisal cycle begins on October 1<sup>st</sup> and concludes on September 30<sup>th</sup> of the following year. An individual performance period begins when the executive is given a written performance plan signed and dated by the supervisor, and must have a duration of at least 90 days. If, at the end of the regular appraisal period, a new SES member has not served for at least 90 days, the appraisal period must be extended until the SES member has had an opportunity to serve under the plan for at least 90 days. After the completion of the extended appraisal period the supervisor will issue a performance rating, which must go through the PRB review and established approval processes (described in sections 3.3.1 to 3.3.9 below). An SES member's appraisal period may be terminated and his/her performance rated at any time after the 90-day minimum period, provided there is an adequate basis on which to appraise and rate his/her performance.

Appraisals will not be prepared for executives within 120 days after the beginning of a new President's term of office.

The individual appraisal process includes the following elements, described in the sections below:

- 3.3.1 Progress reviews
- 3.3.2 Annual review self-assessment
- 3.3.3 Initial summary rating
- 3.3.4 Higher-level review
- 3.3.5 Performance Review Board review
- 3.3.6 OPDIV and STAFFDIV Head review
- 3.3.7 SCOPE review
- 3.3.8 Final annual summary rating
- 3.3.9 Merit Systems Protection Board appeals

Please see [Attachment B \(p. 25\)](#) for a general timeline of events in the individual appraisal process.



### 3.3.1 Progress Reviews

Supervisors must hold a progress review for each SES member for whom they are responsible at least once during each appraisal period. At a minimum, SES members must be informed about how well they are performing against the critical elements contained in their individual performance plan. A progress review does not result in an initial summary rating (described in [section 3.3.3](#) below). However, because progress reviews are intended to provide SES members with interim feedback on their performance, supervisors may refer to the ratings scale described in [section 3.3.2](#) to indicate subjective mid-year trends.

As a result of a progress review, the supervisor and the SES member should share a common understanding of current performance, expectations for the remainder of the performance period, and new actions (if any) that will be initiated. There is no prescribed format for progress reviews. However, supervisors must provide written documentation as an attachment to the executive performance plan if they judge that an SES member's performance on any critical element is less than Fully Successful. This documentation must include a written narrative that clearly states progress to date, deficiencies, and steps to be taken to achieve Fully Successful performance. The supervisor must provide advice and assistance on how to improve performance.

If either the supervisor or the SES member believes that modifications to previously established elements or performance requirements are warranted, such modifications must be discussed and recorded during the progress review process. The SES member and supervisor each sign a copy of any documentation that results from the progress review, including any narratives or modifications, acknowledging that the progress review was conducted.

### ***3.3.2 Annual Review Self-Assessment***

Each SES member will prepare a self-assessment describing his/her individual overall performance, including metrics, for the appraisal period. The narrative assessment must not exceed four pages and should be limited to listing measurable performance results. The self-assessment occurs prior to the supervisor's assignment of an initial summary rating.

### ***3.3.3 Initial Summary Rating***

The SES member's immediate supervisor – referred to as the rating official – is responsible for determining an initial summary rating. The rating official will consider the SES member's self-assessment, as well as input from previous supervisors or others, where applicable. The rating official first arrives at a rating for each critical element in the Performance Plan, using the criteria in [section 3.2.1](#) above. The rating for each critical element must be accompanied by written documentation. Then, the rating official assigns an initial summary rating for the SES member's performance, using the criteria outlined in [section 3.2.2](#) above.

The rating official must ensure that the initial summary rating for the individual SES member takes into account the final organizational assessment rating (see [section 2](#)) of the OPDIV or STAFFDIV. Although there may be exceptions in individual cases, SES appraisals within each OPDIV or STAFFDIV must be broadly consistent with the OPDIV or STAFFDIV's organizational assessment.

The rating official must share the initial summary rating with the SES member in writing, and must meet with the SES member to discuss the rating and, if applicable, any needed improvement assistance. At this time, the rating official must advise the SES member of his/her right to respond to the rating and request a higher-level review (see [section 3.3.4](#)). If the SES member does not request a higher level review, the rating official transmits the initial summary rating to the OPDIV or STAFFDIV Performance Review Board.

### ***3.3.4 Higher-Level Review***

If the SES member disagrees with the initial summary rating received, he/she may request a higher-level review. All requests for higher-level review will be in writing, and must occur within five working days of the issuance of the initial summary rating. The higher-level review will be conducted by the next higher-level official above the rating official. If the SES member reports directly to the Secretary or an OPDIV or STAFFDIV Head, the executive may not request a higher-level review, but may provide a written response to the rating to be considered by the PRB.

The purpose of the higher-level review is to provide another source of information to the PRB, in addition to the executive's self-assessment and the rating official's initial summary rating. The higher-level official may not change the rating official's initial



summary rating, but may recommend a different rating to the PRB. In recommending a rating to the PRB, the higher-level reviewer will use the same standard rating scale and criteria used by the rating official (described in [section 3.2](#) above). Copies of the higher-level reviewer's findings and recommendations will be provided to the SES member, the rating official, and the PRB.

### **3.3.5 Performance Review Board Review**

Each OPDIV will establish one or more PRBs to make recommendations on the performance of its SES members. Individual HHS STAFFDIVs will not establish separate PRBs, except for the Office of the Inspector General. The Office of the Secretary (OS) will establish a single PRB responsible for all STAFFDIVs (except OIG), with the Assistant Secretary for Administration and Management (or designee) as the OS PRB Chair.

OPDIVs generally have discretion to establish their own procedures for creating and operating PRBs, including determining the length of time a member may serve. However, all HHS PRBs must conform to the following broad requirements:

- a. Each PRB will have three or more members who are appointed by the OPDIV Head.
- b. PRB members must be appointed in such a manner as to assure consistency, stability, and objectivity in appraising performance. To achieve this objective, OPDIVs may include members from other OPDIVs, from both headquarters and the field, and from different functional disciplines.
- c. PRB membership should be representative of the OPDIV's SES workforce and include minorities and women.
- d. PRBs may include all types of Federal executives (e.g., non-career appointees, Commissioned Corps or military officers, as well as career appointees) from both within and outside the Department.
- e. When appraising career appointees, or recommending performance awards for career appointees, more than one-half of the members of a PRB must be SES career appointees.
- f. PRB appointments must be published in the *Federal Register* prior to the PRB acting on any appraisal. OPDIVs may appoint individuals to a standing PRB roster, publish their names in the *Federal Register*, and then compose specific PRBs from this roster.

The function of the PRB is to make a written recommendation to the OPDIV Head on each SES member's performance rating. The PRB will also make written recommendations on performance bonuses, pay adjustments, reassignments, and removals (see [section 3.4](#)

below). The rating official will submit the SES member's self-assessment, the initial summary rating, and (when applicable) the SES member's response and the higher-level reviewer's comments to the PRB. The PRB will review these documents, along with the final organizational assessment of the OPDIV (or, in the case of OS, of the appropriate STAFFDIV). The PRB must align SES ratings with OPDIV or STAFFDIV performance and ensure equity and consistency across the OPDIV or STAFFDIV.

Individual PRB members must absent themselves from discussions and action involving themselves, in order to avoid a conflict of interest. Members must be excluded from actions involving their own supervisors and may be excluded from those involving their subordinates. A majority of remaining Board members must be SES career appointees when acting on a career appointee's appraisal or performance bonus recommendation.

After its review, the PRB will make recommendations to the OPDIV or STAFFDIV Head on a proposed annual summary rating for each executive and any follow-up action that may be required, such as a bonus, further training, or reassignment (see [section 3.4](#) for more detail on follow-up actions). In proposing an annual summary rating, PRBs will use the same rating scale and criteria used by the rating official to assign an initial summary rating (described in [section 3.2](#) above).

### ***3.3.6 OPDIV and STAFFDIV Head Review***

After considering the PRB's recommendations, the OPDIV or STAFFDIV Head will recommend, in writing, an annual summary rating of the executive's performance and any proposed follow-up actions. In proposing the annual summary rating, the OPDIV or STAFFDIV Head will use the standard rating scale and criteria (see [section 3.2](#)) and will take into account the results of the organizational assessment. Proposed follow-up actions, such as bonuses, further training, or reassignment, will follow the guidelines in [section 3.4](#) below. The OPDIV or STAFFDIV Head will submit the recommended annual summary rating and follow-up action, along with the results of the PRB review, to the Deputy Assistant Secretary for Human Resources for transmittal to the SCOPE.

### ***3.3.7 SCOPE Review***

The SCOPE serves as the key oversight body in the SES and Organizational Performance Management System, with responsibility for ensuring that the System produces results that are credible, consistent, and equitable across HHS. The SCOPE's role in the organizational assessment process is described in [section 2](#) of this document. In the individual SES appraisal process, the role of the SCOPE is to:

- a. Ensure consistency in performance ratings, bonuses, and pay increases for SES members across the Department;
- b. Make meaningful distinctions in performance ratings and recognition; and

- c. Ensure that ratings and recognition have been recommended in accordance with the Department's SES Performance Management Plan and OPM's performance-based pay criteria.

Members of the SCOPE will review all summary ratings and follow-up actions recommended by the OPDIV and STAFFDIV Heads. Consistent with its oversight role in the process, the SCOPE will focus its review on a broad examination of the degree to which OPDIV and STAFFDIV recommendations on SES members overall reflect final organizational assessment ratings. Where the general distribution of SES member ratings is inconsistent with the organizational assessment, the SCOPE may require that the OPDIV PRB reconsider its recommendations.

In all of its deliberations, the SCOPE will be guided by the same rating scale and criteria used by the PRBs and ratings officials (see [section 3.2](#)). Sources of information available to the SCOPE include the organizational assessment, SES member's self-assessment, rating official's initial summary rating, higher-level review (if applicable), PRB recommendations, and OPDIV and STAFFDIV Head recommendations.

Upon completing its review, the SCOPE Administrative Chairperson will submit final annual summary rating recommendations to the Deputy Assistant Secretary for Human Resources, for transmittal to the Secretary (or the Secretary's designee).

### ***3.3.8 Annual Summary Rating***

The Secretary (or designee) determines the final annual summary rating for each executive, and retains the authority to change the rating recommended by the SCOPE. The annual summary rating issued to the SES member by the Secretary is considered the official annual summary rating. OPDIVs and STAFFDIVs will communicate the results of their rating and recognition decisions to their SES members, and are encouraged to recognize their top performers publicly.

### ***3.3.9 Merit Systems Protection Board Appeals***

An SES member may not appeal the final annual summary rating or the lack (or amount) of a pay increase or performance recognition. As described in [section 3.3.4](#), SES members have the right to respond in writing to the initial summary rating made by the rating official. This response is reviewed by a higher-level reviewer, and becomes a part of the appraisal materials that are reviewed by the PRB, the OPDIV or STAFFDIV Head, and the SCOPE. A career appointee may, however, file a complaint with the Office of the Special Counsel of the Merit Systems Protection Board on any aspect of the rating process that the individual believes involve a prohibited personnel practice or pursue EEO counseling for an alleged violation of the Civil Rights Act.

### 3.4 USING APPRAISAL RESULTS

An SES member's final annual summary rating serves as the basis for a number of possible follow-up actions, including performance bonuses, pay increases, awards, pay reductions, increased training, reassignment, or removal from the SES. The SES and Organizational Performance Management System assures a clear and direct linkage between performance and pay. SES member pay rates or pay adjustments, as well as the overall distribution of recognition awards across HHS, reflect meaningful distinctions among individual performance levels determined during the appraisal process. SES members who demonstrate the highest levels of individual performance – and make the greatest contributions to organizational performance – must receive the highest rates of basic pay or pay adjustments. SES members who demonstrate low levels of performance must experience consequences that can range from pay reductions to increased training to removal from the SES.

Decisions on appropriate follow-up actions are made simultaneously with the rating process described in [section 3.3](#) above. Based on the ratings they assign, PRBs propose a follow-up action (e.g., pay increase, reassignment, etc.) for each SES member. These recommendations are reviewed by OPDIV and STAFFDIV Heads (who may make changes) and are submitted to the SCOPE with the performance rating recommendations. The SCOPE is responsible for reviewing all follow-up actions Department-wide, and for proposing such actions to the Secretary along with the recommended annual summary ratings. SCOPE recommendations will focus on ensuring equity and consistency across HHS. Final decisions on follow-up action are made by the Secretary (or designee) and are transmitted to OPDIV and STAFFDIV Heads for implementation.

#### ***3.4.1 Exceptional and Fully Successful Ratings***

Executives whose annual summary rating is Exceptional or Fully Successful may be considered for performance bonuses and/or pay increases. (Note that only career SES members and Presidential appointees who, without a break in service, have elected to retain SES benefits are eligible for bonuses.) Individual appraisal results and the extent of the SES member's contributions in assisting the organization to meet HHS goals constitute the primary factors considered by PRBs and the SCOPE when proposing recognition for high performers. Performance bonuses and pay increases are calculated based on a percentage of base pay, and maximum percentages are set by the Secretary on an annual basis. PRBs have discretion to set individual bonus and/or pay increase levels that reflect meaningful distinctions among individual SES members' performance. Across HHS, however, all recognition decisions must adhere to the following requirements:

- a. In percentage terms, no Fully Successful SES member may receive a higher performance bonus or pay increase than any Exceptional SES member.
- b. All Exceptional SES members must be allotted performance bonuses and pay increases before any Fully Successful SES member is allotted a performance bonus or pay increase.

### ***3.4.2 Minimally Satisfactory Ratings***

Follow-up actions will also be considered – and in some cases required – for SES members whose annual summary rating is Minimally Satisfactory. Action may be taken during the appraisal period (e.g., after a progress review), at the end of the appraisal period, or both.

During the appraisal period, if the rating official determines that an SES member's performance on one or more critical elements is Minimally Satisfactory, that determination must be documented through a progress review. Written notification of the findings must be provided to the SES member and a performance improvement plan must be developed to assist the SES member in achieving Fully Successful performance. Assistance may include, but is not limited to, formal training, on-the-job training, counseling, and closer supervision. If one or more critical elements continue to be rated at the Minimally Satisfactory level at the end of the appraisal period, the determination must be documented and consideration must be given to a reassignment action.

If an SES member was found to be Fully Successful or Exceptional during a progress review, but is then rated Minimally Satisfactory on the annual summary rating, he or she must be provided assistance. The SES member and his/her supervisor must develop a performance improvement plan for the next appraisal period, designed to raise performance to Fully Successful. Documentation must include identification of the element(s) and performance requirement(s) involved and a narrative description of the performance deficiency in comparison to the requirement(s).

An SES member who receives less than a Fully Successful annual summary rating twice in any three-year period must be removed from the SES.

### ***3.4.3 Unsatisfactory Ratings***

If, at the end of an appraisal period, performance on one or more elements is determined to be Unsatisfactory, the determination must be documented in writing and the SES member must be reassigned or transferred within the SES or removed from the SES. An executive who receives two Unsatisfactory annual summary ratings in any five-year period must be removed from the SES.

## **4. IMPLEMENTATION**

### **4.1 TRAINING**

Training in developing performance plans, conducting progress reviews, and using appraisals as a key factor in making other management decisions will be provided to SES members covered under the SES and Organizational Performance Management System and to senior staff who manage the SES members. Training will be designed to ensure that the performance management process operates effectively. The Office of Human Resources will coordinate training activities based on OPDIV and STAFFDIV needs.

### **4.2 RECORDKEEPING AND RECORD USES**

As part of monitoring performance, supervisors may make notes on significant instances of performance so that they will not be forgotten. Such notes will not be required by or under the control of the Department or any of its components, and are not subject to the Privacy Act or accessible under the Freedom of Information Act, as long as they remain solely for the personal use of the supervisor, are not provided to any other person, are not used for any other purposes, and are retained or discarded at the supervisor's sole discretion. If the supervisor bases a performance appraisal in part or in full on specific information from such notes, however, that information will be recorded on or attached to the official appraisal form. Information on or attached to the form will be subject to the Privacy Act.

The retention, maintenance, accessibility, and disposal of performance records as well as supervisors' copies will be in accordance with Office of Personnel Management regulations. Performance records must be retained for five years and transferred with the SES member's Official Personnel Folder when the SES member transfers to a new organization in HHS or to another agency. When an executive *leaves HHS*, all appropriate performance-related documents five years old or less, including the current SES performance plan and an interim rating, shall be forwarded in the Employee Performance File along with the executive's Official Personnel File to the SES member's new agency.

When an employee in the SES accepts a Presidential appointment, the employee's performance file shall be retained as long as the employee remains employed under that Presidential appointment. If the individual does not return to the SES when the appointment ends, the employee's Employee Performance File shall be destroyed in accordance with HHS procedures. Where any performance-related document is needed in connection with ongoing, quasi-judicial, or judicial proceeding, it may be retained for as long as necessary beyond the established retention schedule.

### **4.3 MONITORING AND EVALUATING THE SYSTEM**

The Office of Human Resources has responsibility for the ongoing review of the operation of the SES and Organizational Performance Management System throughout the Department and for implementing program improvements. Details on the monitoring and evaluation of the System will be contained in the HHS Human Capital Accountability Plan.

## 5. DEFINITIONS

***Appointing authority:*** The Department or OPDIV/STAFFDIV Head, or other official with authority to make appointments in the Senior Executive Service.

***Appraisal period:*** The established period of time for which an SES member's performance will be appraised and rated. The appraisal period begins each October 1<sup>st</sup> and ends the following September 30<sup>th</sup>.

***Balanced measures:*** An approach to performance measurement that balances organization results with the perspectives of distinct groups, including customers and employees.

***Critical element:*** A key component of an SES member's work that contributes to organizational goals and business results. A critical element is of sufficient importance that performance below Fully Successful requires remedial action and may be the basis for a reduction in pay, reassignment, or removal from the SES. All critical elements in the performance plan are defined at the fully successful level.

***Higher-Level Reviewing Official:*** The next higher-level official above the rating official in the organization.

***Minimum Appraisal Period:*** The minimum amount of time a senior executive must have served in a position under an established performance plan in order for an appraisal to be completed. HHS has established a minimum appraisal period of 90 days.

***Organizational Assessment:*** An annual review and assessment of OPDIV and STAFFDIV performance against established performance requirements, designed to evaluate success in achieving Departmental strategic goals and objectives.

***Performance Appraisal:*** The review and evaluation of an SES member's performance against established critical elements and performance requirements.

***Performance Management System:*** The framework of policies and practices established for planning, monitoring, developing, evaluating, and rewarding both individual and organizational performance and for using resulting performance information in making personnel decisions.

***Performance Plan:*** The written summary of work the SES member is expected to accomplish during the appraisal period and the requirements against which performance will be evaluated, including metrics. The plan includes executive leadership responsibilities and specific and measurable expectations that link to goals established in strategic planning initiatives. In addition, the plan must include specific measurable targets linked to agency goals and objectives.

***Performance Requirement:*** A statement of the performance expected to meet the Fully Successful level for a critical element. A performance requirement may include, but is not

limited to, factors such as quality, quantity, timeliness, specific metrics, and manner of performance.

***Performance Review Board (PRB):*** An OPDIV or STAFFDIV board that makes recommendations to the appointing authority on SES performance ratings and recognition.

***Progress Review:*** A mid-year review of the SES member's progress in meeting performance requirements. At a minimum, one progress review is required each year and must be documented on the performance plan. Communication about program objectives and an executive's progress toward achieving performance goals in the attainment of those objectives should be an ongoing process between supervisors and subordinate executives.

***Rating Official:*** An SES member's immediate supervisor, responsible for informing the executive of the critical elements of his/her position, establishing performance requirements, appraising performance, and determining the initial summary rating.

***Ratings:***

*Initial Summary Rating:* The overall rating the rating official derives from appraising the SES member's performance during the appraisal period.

*Annual Summary Rating:* The overall rating level that the Secretary or designee assigns at the end of the appraisal period. This is the official rating.

*Critical Element Rating:* Ratings assigned to each individual critical element.

***Secretary's Council on Performance Evaluation (SCOPE):*** The Department-wide entity responsible for providing oversight to ensure that the SES and Organizational Performance Management System produces results that are credible, equitable, and consistent across HHS. The SCOPE includes the Deputy Secretary, Chief of Staff, Deputy Chief of Staff, Principal Associate Deputy Secretary, Asst. Sec. for Administration and Management, Asst. Sec. for Research and Technology, and Secretary's Counselors. The Assistant Secretary for Administration and Management serves as the administrative chair of the SCOPE, responsible for recordkeeping and reporting functions. The SCOPE replaces the Departmental Performance Review Panel.

***Self-Assessment:*** A brief written summary that the SES member prepares describing his/her accomplishments during the appraisal year. The summary is based on a comparison of actual performance with the critical elements and performance requirements, including metrics, in his/her performance plan.



## **ATTACHMENT A: ORGANIZATIONAL ASSESSMENT TIMELINE**

Note: this timeline contains approximate timeframes for key milestones in the organizational assessment process. Specific deadline dates will be determined on an annual basis, and will be disseminated by the Office for Human Resources as soon as they are established.

OPDIVs and STAFFDIVs submit organizational self-assessment to OHR.....Late Sept.

Independent Departmental organizational assessment occurs.....Late Sept. – Early Oct.

SCOPE meets to consider organizational assessments.....Early October

OHR transmits SCOPE recommendations to OPDIV and STAFFDIV Heads.....Early Oct.

Office of the Secretary reviews requests for  
reconsideration of SCOPE recommendations.....Mid-October

Secretary or designee finalizes all organizational assessment ratings.....Mid-October

## **ATTACHMENT B: INDIVIDUAL APPRAISAL TIMELINE**

Note: this timeline contains approximate timeframes for key milestones in the individual appraisal process. Specific deadline dates will be determined on an annual basis, and will be disseminated by the Office for Human Resources as soon as they are established.

### ***Preparing New Performance Plans (Upcoming Performance Cycle)***

OPDIV and STAFFDIV Heads Submit Draft Performance Plans to OHR.....Late August

OHR feedback – final Performance Plans established.....Early September

OPDIV and STAFFDIV Heads share plans with subordinates – establish framework for cascading performance goals throughout the OPDIV.....Mid-September

All SES Performance Plans established.....End of September

### ***Appraising Individual Performance (Past Performance Cycle)***

Mid-year progress reviews completed and documented.....End of April

Individual Self-Assessments due to immediate supervisor.....Mid-October

Managers meet with subordinate SES members to determine initial summary ratings.....Late October

All higher-level reviews requested are completed.....Early November

OPDIV Performance Review Boards meet.....Early – Mid-November

OPDIV Heads review/transmit recommended annual summary ratings.....Mid-November

Departmental SCOPE meets.....Mid-November

Secretary or designee finalizes annual summary ratings/recognition.....End of November

OHR notifies OPDIVs and STAFFDIVs and HRCs of final decisions.....Early December

HRCs begin processing SES pay and bonus actions.....Early December

## **ATTACHMENT C: ORGANIZATIONAL ASSESSMENT FORM**

## HHS END-OF-YEAR ORGANIZATIONAL ASSESSMENT FORM FY2006

**FY 2005 Overall Organizational Assessment Rating:** \_\_\_\_\_

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## PERFORMANCE AGREEMENT

## 1. Transform the Healthcare System

Department-wide Objectives:

- Increase access to high quality, effective health care that is predictably safe.
- Accelerate the adoption and use of an electronic health information infrastructure in the U.S.
- Strengthen and expand the health care safety net.
- Reform the medical liability system.
- Reduce disparities in ethnic and racial health outcomes.

Performance Plan Objectives:

#### OPDIV or STAFFDIV Input

Office of the Secretary Input

### OS Recommendation

SCOPE Rating for Transform the Healthcare System:

- ☐ Exceptional
  - ☐ Fully Successful
  - ☐ Minimally Satisfactory
  - ☐ Unsatisfactory

SCOPE Justification and/or  
Comments:



<b>3. Modernize Medicare and Medicaid</b>	
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Department-wide Objectives:

- a) Transform Medicare and Medicaid by increased use of effective preventive services, increased provision of information to beneficiaries to make informed choices and increased rewards for high quality care.
- b) Continue to implement the Medicare Modernization Act.
- c) Increase the number of providers paid for good performance.
- d) Strengthen the programmatic and financial stability of the Medicaid program.

Performance Plan Objectives:

### OPDIV or STAFFDIV Input

Office of the Secretary Input

### OS Recommendation

SCOPE Rating for Modernize Medicare and Medicaid:
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- ☐ Exceptional
  - ☐ Fully Successful
  - ☐ Minimally Satisfactory
  - ☐ Unsatisfactory

SCOPE Justification and/or  
Comments:





5. Advance Medical Research		
<div>Department-wide Objectives:<div>a) Maintain a medical and science research portfolio to improve American health and well-being.</div><div>b) Increase the understanding of basic biomedical and behavioral science and how to prevent, diagnose and treat disease and disability.</div><div>c) Strengthen the mechanisms for ensuring the protection of human subjects and the integrity of the research process.</div><div>d) Increase the translation of biomedical research into medical practice to improve the health of all Americans.</div></div> <div>Performance Plan Objectives:</div>	<div>OPDIV or STAFFDIV Input</div> <div>Office of the Secretary Input</div> <div>OS Recommendation</div>	<div>SCOPE Rating for Advance Medical Research:<div><input type="checkbox"/> Exceptional</div><div><input type="checkbox"/> Fully Successful</div><div><input type="checkbox"/> Minimally Satisfactory</div><div><input type="checkbox"/> Unsatisfactory</div></div> <div>SCOPE Justification and/or Comments:</div>



7. Secure the Homeland	
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Department-wide Objectives:

- Increase the capacity of the health care system to respond to public health threats from bio-terrorism as well as natural causes.
- Increase the nation's preparedness for a potential disease pandemic.
- Increase the timeliness and accuracy of domestic and international public health surveillance.

Performance Plan Objectives:

#### OPDIV or STAFFDIV Input

Office of the Secretary Input

### OS Recommendation

SCOPE Rating for Secure the Homeland:
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- ☐ Exceptional
  - ☐ Fully Successful
  - ☐ Minimally Satisfactory
  - ☐ Unsatisfactory

SCOPE Justification and/or  
Comments:

[illegible]

<b>9. Protect Life, Family and Human Dignity</b>	
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Department-wide Objectives:

- a) Promote family formation and healthy marriages.
- b) Promote the economic self-sufficiency and well-being of vulnerable families, children and individuals.
- c) Improve the safety, stability and healthy development of our Nation's children and youth.

Performance Plan Objectives:

### OPDIV or STAFFDIV Input

Office of the Secretary Input

### OS Recommendation

**SCOPE Rating for Protect Life,  
Family and Human Dignity:**

- ☐ Exceptional
  - ☐ Fully Successful
  - ☐ Minimally Satisfactory
  - ☐ Unsatisfactory

SCOPE Justification and/or  
Comments:

10. Improve Budget and Performance Integration		
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Department-wide Objectives:

- a) Meet the OMB mandated “Green” Standards for Success.
- b) Improve program performance and efficiency using PART reviews and other tools.
- c) Submit timely performance budget justifications to the Department, OMB and Congress that clearly link the accomplishment of performance goals with the level of funding requested.

Performance Plan Objectives:

### OPDIV or STAFFDIV Input

Office of the Secretary Input

### OS Recommendation

SCOPE Rating for Improve Budget and Performance Integration:

- ☐ Exceptional
  - ☐ Fully Successful
  - ☐ Minimally Satisfactory
  - ☐ Unsatisfactory

SCOPE Justification and/or  
Comments:

<b>11. Improve the Human Condition Around the World</b>	
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Department-wide Objectives:

- a) Improve the economic and social development of distressed communities.
- b) Implement a strategy to support emerging democracies with health diplomacy.
- c) Expand the international network of infectious disease surveillance.
- d) Demonstrate successful implementation of the goals of the President's Emergency Plan for HIV/AIDS Relief.
- e) Encourage policies that promote and protect innovation in the health sciences.
- f) Achieve continuous improvement in the safety of food, drugs, biological products and medical devices.

Performance Plan Objectives:

### OPDIV or STAFFDIV Input

Office of the Secretary Input

### OS Recommendation

SCOPE Rating for Improve the Human Condition Around the World:

- ☐ Exceptional
  - ☐ Fully Successful
  - ☐ Minimally Satisfactory
  - ☐ Unsatisfactory

SCOPE Justification and/or  
Comments:







<b>14. Achieve Performance Accountability</b>	
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Department-wide Objectives:

- a) Meet all deadlines to satisfy OPM requirements for SES Plan recertification, including timely development and approval of performance contracts.
- b) Align OP/STAFF/DIV and individual performance expectations with the Departmental Top 20.

Performance Plan Objectives:

### OPDIV or STAFFDIV Input

Office of the Secretary Input

### OS Recommendation

SCOPE Rating for Achieve  
Performance Accountability:

- ☐ Exceptional
  - ☐ Fully Successful
  - ☐ Minimally Satisfactory
  - ☐ Unsatisfactory

SCOPE Justification and/or  
Comments:





17. <b>Emphasize Faith Based and Community Solutions</b>		
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Department-wide Objectives:

- a) Meet the OMB mandated “Green” Standards for Success.
- b) Expand faith-based and community partnerships in providing effective health and human services.
- c) Increase the commitment to faith-based and community organizations.
- d) Inform and educate federal grantees, including state and local officials who administer funds, about the requirements of the Equal Treatment and Charitable Choice regulations.

Performance Plan Objectives:

### OPDIV or STAFFDIV Input

Office of the Secretary Input

### OS Recommendation

SCOPE Rating for Emphasize  
Faith Based and Community  
Solutions:

- ☐ Exceptional
  - ☐ Fully Successful
  - ☐ Minimally Satisfactory
  - ☐ Unsatisfactory

SCOPE Justification and/or  
Comments:

<b>18. Consolidate Management Functions and Streamline Administrative Operations</b>	
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Department-wide Objectives:

- a) Participate in acquisition initiatives including Acquisition Integration and Modernization (AIM), Strategic Sourcing and Balanced Scorecard.
- b) Implement the HHS Department-wide HSPD-12 plan in accordance with the established schedule
- c) Participate in Departmental consolidation initiatives (e.g., Warehouse Realignment and Consolidation) and meet objective measures and deadlines established for all such initiatives.
- d) Meet small business procurement goals, as established by the Small Business Administration.
- e) Implement the CIO Consolidation goal.

Performance Plan Objectives:

#### OPDIV or STAFFDIV Input

Office of the Secretary Input

### OS Recommendation

SCOPE Rating for Consolidate Management Functions and Streamline Administrative Operations:

- ☐ Exceptional
  - ☐ Fully Successful
  - ☐ Minimally Satisfactory
  - ☐ Unsatisfactory

SCOPE Justification and/or  
Comments:

<b>19. Emphasize Healthy Living and Prevention of Disease, Illness, and Disability</b>	
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Department-wide Objectives:

- a) Reduce unhealthy behaviors and other factors that contribute to the development of chronic diseases (diabetes, obesity, asthma, heart disease, stroke and cancer).
- b) Increase childhood and adult immunization rates.
- c) Reduce the incidence and consequences of injuries, violence, substance abuse, mental health problems, unintended pregnancies and sexually transmitted diseases.
- d) Increase the independence and quality of life of persons with disabilities, including those with long-term care needs.
- e) Increase consumer and patient use of health care quality information.

Performance Plan Objectives:

### OPDIV or STAFFDIV Input

Office of the Secretary Input

### OS Recommendation

**SCOPE Rating for Emphasize  
Healthy Living and Prevention  
of Disease, Illness and  
Disability:**

- ☐ Exceptional
  - ☐ Fully Successful
  - ☐ Minimally Satisfactory
  - ☐ Unsatisfactory

SCOPE Justification and/or  
Comments:





21. Ethics		
Ensure employee awareness, training, compliance and discipline relative to ethics, financial disclosure, conflicts of interest, standards of conduct, political activity, and procurement integrity requirements. Review and make determinations timely and accurately as to financial disclosure reports, employee requests for approval of outside activities, and other ethics clearance matters.	<div>OPDIV or STAFFDIV Input</div> <div>Office of the Secretary Input</div> <div>OS Recommendation</div>	<div>SCOPE Rating for Ethics:</div> <div><input type="checkbox"/> Exceptional</div> <div><input type="checkbox"/> Fully Successful</div> <div><input type="checkbox"/> Minimally Satisfactory</div> <div><input type="checkbox"/> Unsatisfactory</div> <div>SCOPE Justification and/or Comments:</div>

**ADDITIONAL INFORMATION:**

(be specific as to how this produced results-oriented, measurable outcomes)

**OPDIV or STAFFDIV Input:**

**Office of the Secretary Input:**

**RECOMMENDED OVERALL SCOPE ORGANIZATIONAL ASSESSMENT RATING FOR FY2006:**

**OPDIV or STAFFDIV:** \_\_\_\_\_

- ☐ **Exceptional**
- ☐ **Fully Successful**
- ☐ **Minimally Satisfactory**
- ☐ **Unsatisfactory**

**ATTACHMENT D: ORGANIZATIONAL ASSESSMENT RATINGS SUMMARY FORM**

**FY 2006 ORGANIZATIONAL ASSESSMENT RATINGS SUMMARY FORM  
OPERATING DIVISIONS**

**Administration for Children and Families**

SCOPE Panel Recommendation ☐ Exceptional ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory  
Appeal Recommendation (if applicable) ☐ Exceptional ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory  
Final Rating Assigned ☐ Exceptional ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory

**Agency for Healthcare Research and Quality**

SCOPE Panel Recommendation ☐ Exceptional ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory  
Appeal Recommendation (if applicable) ☐ Exceptional ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory  
Final Rating Assigned ☐ Exceptional ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory

**Administration on Aging**

SCOPE Panel Recommendation ☐ Exceptional ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory  
Appeal Recommendation (if applicable) ☐ Exceptional ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory  
Final Rating Assigned ☐ Exceptional ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory

**Centers for Disease Control and Prevention**

SCOPE Panel Recommendation ☐ Exceptional ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory  
Appeal Recommendation (if applicable) ☐ Exceptional ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory  
Final Rating Assigned ☐ Exceptional ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory

**Centers for Medicare and Medicaid Services**

SCOPE Panel Recommendation ☐ Exceptional ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory  
Appeal Recommendation (if applicable) ☐ Exceptional ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory  
Final Rating Assigned ☐ Exceptional ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory

**Food and Drug Administration**

SCOPE Panel Recommendation ☐ Exceptional ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory  
Appeal Recommendation (if applicable) ☐ Exceptional ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory  
Final Rating Assigned ☐ Exceptional ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory

**Health Resources and Services Administration**

SCOPE Panel Recommendation ☐ Exceptional ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory  
Appeal Recommendation (if applicable) ☐ Exceptional ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory  
Final Rating Assigned ☐ Exceptional ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory

**Indian Health Service**

SCOPE Panel Recommendation ☐ Exceptional ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory  
Appeal Recommendation (if applicable) ☐ Exceptional ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory  
Final Rating Assigned ☐ Exceptional ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory

**National Institutes of Health**

SCOPE Panel Recommendation ☐ Exceptional ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory  
Appeal Recommendation (if applicable) ☐ Exceptional ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory  
Final Rating Assigned ☐ Exceptional ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory

**Substance Abuse and Mental Health Services Administration**

SCOPE Panel Recommendation ☐ Exceptional ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory  
Appeal Recommendation (if applicable) ☐ Exceptional ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory  
Final Rating Assigned ☐ Exceptional ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory

SCOPE Administrative Chairperson: \_\_\_\_\_  
Signature

Date: \_\_\_\_\_

Secretary or Designee : \_\_\_\_\_  
Signature

Date: \_\_\_\_\_

**FY 2006 ORGANIZATIONAL ASSESSMENT RATINGS SUMMARY FORM  
STAFF DIVISIONS**

**Assistant Secretary for Administration and Management**

SCOPE Panel Recommendation ☐ Exceptional ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory  
 Appeal Recommendation (if applicable) ☐ Exceptional ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory  
 Final Rating Assigned ☐ Exceptional ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory

**Assistant Secretary for Resources and Technology**

SCOPE Panel Recommendation ☐ Exceptional ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory  
 Appeal Recommendation (if applicable) ☐ Exceptional ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory  
 Final Rating Assigned ☐ Exceptional ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory

**Assistant Secretary for Legislation**

SCOPE Panel Recommendation ☐ Exceptional ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory  
 Appeal Recommendation (if applicable) ☐ Exceptional ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory  
 Final Rating Assigned ☐ Exceptional ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory

**Assistant Secretary for Public Affairs**

SCOPE Panel Recommendation ☐ Exceptional ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory  
 Appeal Recommendation (if applicable) ☐ Exceptional ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory  
 Final Rating Assigned ☐ Exceptional ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory

**Assistant Secretary for Planning and Evaluation**

SCOPE Panel Recommendation ☐ Exceptional ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory  
 Appeal Recommendation (if applicable) ☐ Exceptional ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory  
 Final Rating Assigned ☐ Exceptional ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory

**Center for Faith-Based and Community Initiatives**

SCOPE Panel Recommendation ☐ Exceptional ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory  
 Appeal Recommendation (if applicable) ☐ Exceptional ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory  
 Final Rating Assigned ☐ Exceptional ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory

**Departmental Appeals Board**

SCOPE Panel Recommendation ☐ Exceptional ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory  
 Appeal Recommendation (if applicable) ☐ Exceptional ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory  
 Final Rating Assigned ☐ Exceptional ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory

**Inter-Governmental Affairs**

SCOPE Panel Recommendation ☐ Exceptional ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory  
 Appeal Recommendation (if applicable) ☐ Exceptional ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory  
 Final Rating Assigned ☐ Exceptional ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory

**Office for Civil Rights**

SCOPE Panel Recommendation ☐ Exceptional ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory  
 Appeal Recommendation (if applicable) ☐ Exceptional ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory  
 Final Rating Assigned ☐ Exceptional ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory

**Office of Disability**

SCOPE Panel Recommendation ☐ Exceptional ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory  
 Appeal Recommendation (if applicable) ☐ Exceptional ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory  
 Final Rating Assigned ☐ Exceptional ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory

**Office of Global Health Affairs**

SCOPE Panel Recommendation ☐ Exceptional ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory  
 Appeal Recommendation (if applicable) ☐ Exceptional ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory  
 Final Rating Assigned ☐ Exceptional ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory

**Office of the General Counsel**

SCOPE Panel Recommendation	<input type="checkbox"/> Exceptional	<input type="checkbox"/> Fully Successful	<input type="checkbox"/> Minimally Satisfactory	<input type="checkbox"/> Unsatisfactory
Appeal Recommendation (if applicable)	<input type="checkbox"/> Exceptional	<input type="checkbox"/> Fully Successful	<input type="checkbox"/> Minimally Satisfactory	<input type="checkbox"/> Unsatisfactory
Final Rating Assigned	<input type="checkbox"/> Exceptional	<input type="checkbox"/> Fully Successful	<input type="checkbox"/> Minimally Satisfactory	<input type="checkbox"/> Unsatisfactory

**Office of Medicare Hearings and Appeals**

SCOPE Panel Recommendation	<input type="checkbox"/> Exceptional	<input type="checkbox"/> Fully Successful	<input type="checkbox"/> Minimally Satisfactory	<input type="checkbox"/> Unsatisfactory
Appeal Recommendation (if applicable)	<input type="checkbox"/> Exceptional	<input type="checkbox"/> Fully Successful	<input type="checkbox"/> Minimally Satisfactory	<input type="checkbox"/> Unsatisfactory
Final Rating Assigned	<input type="checkbox"/> Exceptional	<input type="checkbox"/> Fully Successful	<input type="checkbox"/> Minimally Satisfactory	<input type="checkbox"/> Unsatisfactory

**Office of the National Coordinator for Health Information Technology**

SCOPE Panel Recommendation	<input type="checkbox"/> Exceptional	<input type="checkbox"/> Fully Successful	<input type="checkbox"/> Minimally Satisfactory	<input type="checkbox"/> Unsatisfactory
Appeal Recommendation (if applicable)	<input type="checkbox"/> Exceptional	<input type="checkbox"/> Fully Successful	<input type="checkbox"/> Minimally Satisfactory	<input type="checkbox"/> Unsatisfactory
Final Rating Assigned	<input type="checkbox"/> Exceptional	<input type="checkbox"/> Fully Successful	<input type="checkbox"/> Minimally Satisfactory	<input type="checkbox"/> Unsatisfactory

**Office of Public Health Emergency Preparedness**

SCOPE Panel Recommendation	<input type="checkbox"/> Exceptional	<input type="checkbox"/> Fully Successful	<input type="checkbox"/> Minimally Satisfactory	<input type="checkbox"/> Unsatisfactory
Appeal Recommendation (if applicable)	<input type="checkbox"/> Exceptional	<input type="checkbox"/> Fully Successful	<input type="checkbox"/> Minimally Satisfactory	<input type="checkbox"/> Unsatisfactory
Final Rating Assigned	<input type="checkbox"/> Exceptional	<input type="checkbox"/> Fully Successful	<input type="checkbox"/> Minimally Satisfactory	<input type="checkbox"/> Unsatisfactory

**Office of Public Health and Science**

SCOPE Panel Recommendation	<input type="checkbox"/> Exceptional	<input type="checkbox"/> Fully Successful	<input type="checkbox"/> Minimally Satisfactory	<input type="checkbox"/> Unsatisfactory
Appeal Recommendation (if applicable)	<input type="checkbox"/> Exceptional	<input type="checkbox"/> Fully Successful	<input type="checkbox"/> Minimally Satisfactory	<input type="checkbox"/> Unsatisfactory
Final Rating Assigned	<input type="checkbox"/> Exceptional	<input type="checkbox"/> Fully Successful	<input type="checkbox"/> Minimally Satisfactory	<input type="checkbox"/> Unsatisfactory

**SCOPE Administrative Chairperson:** \_\_\_\_\_

Signature

**Date:** \_\_\_\_\_

**Secretary or Designee :**

\_\_\_\_\_

Signature

**Date:** \_\_\_\_\_

## ATTACHMENT E: OPM GUIDANCE



OFFICE OF THE DIRECTOR

UNITED STATES  
OFFICE OF PERSONNEL MANAGEMENT  
WASHINGTON, DC 20415-1000

January 30, 2006

### MEMORANDUM FOR CHIEF HUMAN CAPITAL OFFICERS

FROM: LINDA M. SPRINGER   
Director

SUBJECT: Building a Results-Oriented Performance Culture

This is to follow up on our ongoing discussions regarding establishing results-oriented performance cultures in agencies. I want to be clear that agency SES appraisal systems will not be certified for calendar year 2006 if the performance plans do not hold executives accountable for achieving measurable business outcomes.

By aligning employee performance plans with organizational goals and holding employees accountable, agencies are well on the way to establishing a results-oriented performance culture. We must now place an even greater emphasis on achieving results.

While Senior Executive Service (SES) appraisal and certification regulations require executives to be appraised based on their performance, we have found some plans in some agencies that are weak in measuring results or setting targets. These agencies have been told they must improve those performance plans. This emphasis applies to non-SES appraisal programs as well. Your agencies are currently completing the Office of Personnel Management's (OPM) Performance Appraisal Assessment Tool (PAAT) for your non-SES appraisal programs, including the beta sites you identified last quarter. The PAAT provides a process for assessing how well programs meet the criteria identified to support a strong performance culture, including an assessment of employee performance plans and their focus on measurable outcomes. Your programs will not score well if your performance plans do not include this focus, nor will your beta sites meet the green standard for performance culture. OPM is scoring the PAATs as they are submitted and will be working with the agencies to improve any weaknesses in their appraisal programs.

As I indicated at our January 12, 2006, discussion, all assessments of appraisal programs for both SES and non-SES employees, whether through certification or the PAAT, will review how well the agency has incorporated a results-focus into its appraisal process. For programs being certified for 2007, OPM expects to see well over 50 percent of an executive's or employee's performance plan focuses on achieving results. OPM has tools and training that can help you develop or strengthen your performance appraisal programs. My staff has been providing technical guidance and assistance to you in the past and will continue to do so. Please contact your Human Capital Officer, as needed.





UNITED STATES  
OFFICE OF PERSONNEL MANAGEMENT  
WASHINGTON, DC 20415-1000

OFFICE OF THE DIRECTOR

March 17, 2006

The Honorable Joe Ellis  
Assistant Secretary for Administration  
and Management  
Department of Health and Human Services  
Washington, DC 20201

Dear Mr. Ellis:

This is in response to your request of January 24, 2006, for full certification of the Department of Health and Human Services (HHS) Senior Executive Service (SES) performance appraisal system for calendar years 2006-2007. We have reviewed your request and have determined, and OMB concurs, that your system warrants provisional certification for calendar year 2006. You are permitted to authorize pay above the rate for level III of the Executive Schedule, up to the rate for level II of the Executive Schedule, for your highest performing SES staff, and you are permitted to use the higher aggregate pay limit.

We are certifying your system provisionally because we found that while many aspects of your performance appraisal system fully meet the criteria, some aspects of it, particularly some of the executive performance plans, only partially meet the criteria for certification. The aspects of your performance plans that need to be strengthened deal with addressing employee perspective and the performance management of subordinates. We found that while your system description did an excellent job of addressing these issues, not all of the performance plans in the sample did so.

As stated in my memo for Chief Human Capital Officers dated January 30, 2006, on Building a Results-Oriented Performance Culture, in order for agency systems to be certified for 2007, I expect to see well over 50 percent of an executive's performance plan focusing on business results. Your appraisal system currently counts business results as 50 percent of the performance plan and the rating. We expect to see that your performance plans for 2007 focus well over 50 percent on business results.

As you know, you must provide OPM with a report showing the data that result from the application of your certified system, including your pay adjustments and awards. You must also reapply for either provisional or full certification for calendar year 2007 if you wish to continue to apply a higher maximum rate of basic pay and the higher aggregate limitation on pay in that calendar year. In addition, I authorize HHS to extend this provisional certification into early 2007 for the sole purpose of adjusting pay based on official ratings under your certified appraisal system that are given for appraisal cycles that end on or after September 30, 2006. Please notify Ms. Mary Ann Maloney, your OPM Human Capital Officer, if you use this extension.

You should also contact Ms. Maloney if you have questions regarding your certification status or requirements at 202-606-1017 or by e-mail at [maryann.maloney@opm.gov](mailto:maryann.maloney@opm.gov).

Sincerely,

A handwritten signature in black ink, appearing to read "LMS", is written over the typed name of Linda M. Springer.

Linda M. Springer  
Director